

BOARD OF DIRECTORS MEETING (Open)

Date: 8 May 2019

Item Ref:

09b

TITLE OF PAPER	2019/20 BAF Risks
TO BE PRESENTED BY	Margaret Saunders, Director of Corporate Governance
ACTION REQUIRED	For final sign off

OUTCOME	BAF risks for 2019/20 will be finalised and signed off
TIMETABLE FOR DECISION	8 May 2019
LINKS TO OTHER KEY REPORTS / DECISIONS	Risk Management Strategy Shaping the Future, the Trust Strategy & Strategic Planning Framework 2017-2020 Corporate (organisational) Risk Register Care Network and Directorate Risk Registers
STRATEGIC AIM: STRATEGIC OBJECTIVE: BAF RISK NUMBER: BAF RISK DESCRIPTION:	Value for Money We will improve the productivity and efficiency of our services A401ii Trust governance systems are not sufficiently embedded which may reduce the effective means by which executive directors can consistently and continually be held to account for the delivery of sound strategies, effective risk management of risk and service quality.
LINKS TO NHS CONSTITUTION & OTHER RELEVANT FRAMEWORKS, RISK, OUTCOMES ETC	Provider Licence Annual Governance Statement NHS Foundation Trust Code of Governance
IMPLICATIONS FOR SERVICE DELIVERY & FINANCIAL IMPACT	Implications of individual risks are highlighted in the BAF. The BAF enables the Trust to satisfy its regulatory requirements and provides assurance for the Chief Executive to sign the Annual Governance Statement.
CONSIDERATION OF LEGAL ISSUES	Breach of SHSC Constitution Standing Orders Breach of NHS Improvement's Governance regulations and Provider Licence.

Author of Report	Sam Stoddart
Designation	Deputy Board Secretary
Date of Report	30 April 2019

SUMMARY REPORT

Report to: Board of Directors

Date: 8 May 2019

Subject: 2019/20 BAF Risks

Author: Sam Stoddart, Deputy Board Secretary

1. Purpose

<i>For Approval</i>	<i>For a collective decision</i>	<i>To report progress</i>	<i>To seek input from</i>	<i>For information</i>	<i>Other (please state below)</i>
x					

2. Summary

The Board, during two development sessions held in February and March 2019, discussed the 2019/20 Board Assurance Framework and drafted the risks associated with the Trust's revised strategic objectives (see appendix 1). Following this, Executive Director's Group (EDG) was asked to consider if all remained principle risks or whether any should be removed from the BAF. This was duly considered by EDG on 18/4/19 where it was agreed that all remain principle risks. In addition, in April 2019 all Board Committees considered 2019/20 risks assigned to them and confirmed them as principle risks with the exception of the Workforce & Organisation Development Committee (WODC) which met on 30/4/19.

WODC believed that risk A203, risk of insufficient capacity and skills to deliver objectives, did not align with the strategic objective of revamping and improving the Trust's approach to recruitment and retention. It requested that Board identifies and clearly defines any principle risk associated with this objective.

Finance, Information & Performance Committee (FIPC) at its meeting of 29/4/19 sought to add a further risk associated with strategic objective A403 in relation to the sale of the Fulwood Site and its potential impact on the Acute Care Modernisation. This is currently being worked on and will be included in the first iteration of the 2019/20 BAF to be presented to Board in July 2019.

One of the 2019/20 risks, which has been carried over from the 2018/19 BAF is assigned to the Board – risk A302ii, renumbered to A301 for 2019/20 BAF. This relates to implementation of the Community Wellbeing Strategy being compromised due to capacity issues. As the capacity issues have been addressed, the Board should consider whether the risk remains, and if so, whether it should be reframed to better fit the revised strategic objective of delivering primary mental health and neighbourhood services.

3 Next Steps

Following final sign off of the 2018/19 BAF risks, the process will begin of populating the 2019/20 BAF. The first iteration of the 2019/20 BAF will be presented virtually to all Board Committees for comments in June 2019 in order to present a first draft of the BAF to Board in July 2019.

4 Required Actions

Board is asked to consider the risks shown in appendix 1 and:

- Consider the risk description for objective A203 and either provide a specific and measurable principle risk or identify no principle risk;
- Consider the risk description for risk A301 and either provide a specific and measurable principle risk or identify no principle risk;
- Consider all other risks and provide final approval and sign off.

5 Monitoring Arrangements

The Director of Corporate Governance is responsible for ensuring an updated BAF is presented to Board and its committees at intervals informed by the Trust's Risk Management Strategy

6 Contact Details

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2019/20 BAF RISKS

Strategic Aim 1 – Quality & Safety

	2019/20
Strategic Objective A1 01	Effective governance, quality assurance and improvement will underpin all we do
BAF Risk A101i	Failure to meet regulatory standards (registration and compliance). (Same risk as 2018/19 but reworded)
BAF Risk A101ii	Inability to improve the quality of patient care (same risk as 2018/19 but reworded)
BAF Risk A101iii	Risk that Trust governance systems are not sufficiently embedded (same risk as 2018/19 but previously numbered A401ii)
Strategic Objective A1 02	We will deliver safe care at all times*
BAF Risk A102i	Failure to deliver safe care due to insufficient numbers of appropriately trained registered professionals.
BAF Risk A102ii	Inability to improve the safety of patient care (same risk as 2018/19 but reworded)
Strategic Objective A1 03	We will provide a positive experience and improve outcomes for service users
BAF Risk A103	Failure to adequately measure service user experience and outcomes.
Strategic Objective A1 04	We will ensure timely access to effective care
BAF Risk A104	Failure to ensure timely access to services according to defined standards.

Strategic Aim 2 - People

	2019/20
Strategic Objective A2 01	We will implement a revised OD and Engagement Plan
BAF Risk A201	Failure to address culture and improve morale through implementation of the Trust's OD and Engagement Plan
Strategic Objective A2 02	We will implement a programme to establish and expand new roles
BAF Risk A202	Risk the Trust does not develop new roles to meet current and future workforce needs (same risk as 2018/19 but reworded)
Strategic Objective A2 03	We will revamp and improve our approach to recruitment and retention
BAF Risk A203	Risk of insufficient capacity and skills to deliver objectives
Strategic Objective A2 04	We will prioritise the health, wellbeing and welfare of our employees
BAF Risk A204	Risk the Trust fails to properly recognise what is significant for the health and wellbeing of its staff and take prompt action

Strategic Aim 3 – Future Services

	2019/20
Strategic Objective A3 01	We will deliver primary mental health and neighbourhood services
BAF Risk A301	There is a risk to implementation of the Community Wellbeing Strategy due to capacity issues within the Trust (this may be considered for rewording as capacity issues no longer exist or the risk may be closed – was previously numbered A302ii)
Strategic Objective A3 02	We will deliver effective recovery services
BAF Risk A302ii	Insufficient capacity and capability to maintain service quality following the reconfiguration of recovery services (reworded from closed risk A303)
Strategic Objective A3 03	We will develop new care models for secure care
BAF Risk A303	No risk
Strategic Objective A3 04	We will deliver effective crisis care pathways and services
BAF Risk A304	No risk

Strategic Aim 4 – Value for Money

	2019/20
Strategic Objective A4 01	We will ensure the financial sustainability of our services
BAF Risk A401i	Inability to deliver against the control total resulting in a failure to deliver financial sustainability (same risk as 2018/19 but reworded)
Strategic Objective A4 02	We will take a clear procurement-led approach to reducing costs
BAF Risk A402	No risk
Strategic Objective A4 03	We will implement our estate plan to meet our service needs
BAF Risk A403	Affordability of the Acute Care Modernisation (ACM) project as it progresses through to final business base (FBC) and procurement stages (same as 2018/19 but reworded)
BAF Risk A403ii	Risk to be worked up relating to the sale of Fulwood House and its potential impact on delivery of the ACM
Strategic Objective A4 04	We will use technology to deliver new ways of working and new care models
BAF Risk A404	The programmes for delivery are not developed or require additional resources not within plan and/or require significant reprioritisation once developed